# School Improvement Grant Overview Technical Assistance Session

School Improvement Grants
Office of School Transformation
Division of Innovation and Effectiveness
School Improvement Grant

June 16, 2016



# Purpose of School Improvement Grant

The purpose of SIG is to support LEAs that demonstrate the greatest need for funds and the strongest commitment to use the funds to provide adequate resources to substantially raise the achievement of students in their lowest performing schools.

- Improve student achievement.
- Enable these schools to make adequate yearly progress and exit improvement status.

# Summary of SIG Changes

- 5-year grants
- Rural flexibility
- Evidence-Based, Whole-School Reform Model
- Early Learning Model
- Alignment with ESEA flexibility

- Strengthening of existing requirements
- Clarifying and updating of existing requirements
- Provision and clarification of flexibility
- Removal of obsolete references

# Future of SIG ESSA

- SIG funds will be part of Title I
- SIG is funded through 9/30/21 for FY15 funds and 9/30/22 for FY16 funds
- Another school improvement program is expected funded through Title I

# 5-Year Grant Cycle

#### **5-YEAR GRANTS**

 SEAs may now make a SIG award to an LEA for up to five years.

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Planning: Up to 1 year

Full Implementation: At least 3 years

Sustainability activities:
Up to 2 years
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- Can still use funds for pre-implementation costs
- A school may <u>not</u> receive more than five years of continuous SIG funding

## SIG School Identification

- The USDE granted South Carolina an ESEA Flexibility Waiver for the SCDE to subgrant SIG funds as a competitive process to LEAs serving schools qualifying for federal priority and federal focus schools.
- LEAs cannot apply to serve schools for which they have already received an award of SIG funds (i.e., schools that participated in Cohort I, II, or III are not eligible to be served, regardless of their priority or focus school status).

# SIG School Eligibility

- Any school determined eligible as a federal priority or federal focus school is eligible to apply for SIG funds.
- Eligible SIG schools must complete the SIG application in order to receive funds.
- Schools should incorporate their priority and focus plans into their SIG application.

## Cohort III Reform Models

- Early Learning Model
- Evidence-Based, Whole-School Reform Model
- Restart Model
- Transformation Model
- Turnaround Model
- School Closure Model

# Early Learning Model

#### An LEA that selects this model must:

- Offer full-day kindergarten
- Establish or expand a high-quality preschool program
- Provide educators, including preschool teachers, with joint planning time
- Implement additional requirements that are the same as the Transformation Model (except no requirement for increased learning time).

### Restart Model

- LEA converts or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process.
- The Restart Model must enroll, within the grades it serves, any former student who wishes to attend the school.

# Restart Models Operators and External Providers

- LEAs must determine that the selected charter school operator, CMO, or EMO is likely to produce strong results for the school.
- LEAs must also conduct rigorous performance reviews of all external providers in restart and other models throughout the grant period.
- LEAs may use SIG funds during the planning or preimplementation period to:
  - 1. Conduct the rigorous review process required under the Restart Model.
  - 2. Hire external providers to assist in planning for and carrying out activities necessary for full implementation of a SIG model in the following year.

# Evidenced-Based, Whole-School Reform Model

#### Definition of Whole-School Reform Model

- Improve student academic achievement or attainment
- Be implemented for all students in a school
- Address at a minimum each of the following:
  - School leadership
  - Teaching and learning in at least one full academic content area
  - Student non-academic support
  - o Family and community engagement

# Evidenced-Based, Whole-School Reform Model (cont.)

An LEA must implement this model in partnership with a whole-school reform model developer.

- Must be evidence-based
  - At least one study meeting What Works Clearinghouse evidence standards
- Statistically favorable impact on academic achievement or attainment
- Must also be a whole-school reform model
- Must be on the list of ED approved models which can be found at:

http://www2.ed.gov/programs/sif/sigevidencebased/index.html

# Evidenced-Based, Whole-School Reform Model (cont.)

Definition of Whole School Reform Model Developer

A developer is an entity or individual that:

- Maintains proprietary rights for the model; or
- Has a demonstrated record of success in implementing a whole-school reform model and is selected through a rigorous review process that determines that the developer is likely to produce strong results for the school

# Evidenced-Based, Whole-School Reform Model (cont.)

SEA role in LEA selection of Evidence-Based, Whole-School Reform Model

Prior to approving an LEA's application that includes an evidence-based model, an SEA must consider the extent to which:

- The evidence supporting the model includes a sample population or setting similar to the population or setting of the school to be served
- The model developer partner meets the "whole- school reform model developer" definition

## Transformation Model

#### Transformation Model must contain these 4 elements.

- Developing and increasing teacher and school leader effectiveness
- Comprehensive instructional reform strategies
- Increasing learning time and creating community-oriented schools
- Providing operational flexibility and sustained support

### Turnaround Model

#### **Turnaround Model**

- Replace the principal grant sufficient flexibility to implement comprehensive approach to improve student achievement and graduation outcomes.
- Use locally adopted competencies to measure staff effectiveness for turnaround environment by...
  - o Screening existing staff and rehire no more than 50%.
  - Selecting new staff.
- Implement strategies for staff-retention, financial, PD, etc.
- Provide PD to staff which matches plan for school.

### Turnaround Model

- Adopt new governance such as LEA Turnaround office
- Use data for an instructional program that is researched based and vertically aligned
- Use data to meet the needs of student instruction (meet needs of individual students)
- Increase learning time
- Provide social and community oriented services for students

## School Closure Model

- School closure happens when the school closes and enrolls the students in other schools in the LEA that are higher achieving.
- Other schools should be in reasonable proximity to closed school.

# ESEA Flexibility

#### Alignment with ESEA Flexibility

- Aligning the teacher and principal evaluation system requirements in the Transformation Model with the ESEA Flexibility requirements.
- ESEA Flexibility Priority and Focus Schools
- Clarifying that schools are implementing a SIG model are considered to meet the ESEA flexibility requirements related to interventions in priority schools
- Clarifying that SIG schools exiting priority status must continue to implement SIG for three more years

# Teacher and Principal Evaluation and Support Systems

Under final requirements, these systems:

- Are used for continual improvement of instruction.
- Meaningfully differentiate performance using at least three performance levels.
- Use multiple valid measures in determining performance levels.
- Evaluate teachers and principals on a regular basis.
- Provide clear, timely, and useful feedback, including feedback that identifies needs and guides professional development.
- Will be used to inform personnel decisions.

# Family and Community Engagement

- LEA applications must demonstrate that the LEA has or will meaningfully engage families and the community in the selection of the intervention model and the implementation of the selected intervention on an ongoing basis.
- This engagement should continue in the planning and preimplementation stage and throughout the implementation of the intervention model.

# LEA Monitoring and Support

#### All LEAs must:

- Ensure that selected SIG interventions are designed to meet the specific needs of the schools served.
- Provide effective oversight and support for SIG implementation in each school (for example, creating an LEA turnaround office).
  - The SCDE is responsible for monitoring SIG program implementation.
- LEAs should use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools.

# Needs Assessment and Stakeholder Input

# School Improvement Grant

### LEA Needs Statement

- Needs assessments are required by all LEA's in order to be eligible to receive SIG funds
- Needs assessments should contribute to the selection of the appropriate reform model
- Needs assessments should involve the school, leadership, staff and local community to identify the specific school needs-Key Stakeholders.

## Definition of a Stakeholder

 A stakeholder is anyone who is involved in the welfare and success of a school and its students.

# Identify Key Stakeholders

• Key stakeholders include students, teachers, administrative staff, parents and alumnus. Additionally, local businesses, local government officials, and health and social service providers are also affected by the quality of education in a community.

#### How to Involve

- Develop teams or advisory boards
- Schedule monthly meetings
- Provide surveys to get feedback from stakeholders
- Participate in goal setting for school year.

#### What is a Needs Assessment?

- A way to identify strengths and weaknesses
- A way to specify priorities for improving student achievement and meeting challenging academic standards
- A better way to focus on LEA and school wide issues and link goals with hard data.

### Needs Assessment Focus

- Concentrate on how the LEA/school addresses the comprehensive academic needs of all students
- Beware of 'data overload' but be receptive to patterns in the data.

## Prior Improvement Initiatives

Provide a detailed description of any prior improvement initiatives implemented by the LEA over the past five years and identify the impacted schools to include all of the following:

- the years and total budgets allocated for each initiative;
- an analysis of what interventions, strategies, and/or processes worked and did not work in prior initiatives;
- discussion of the reasons behind success(es) and/or failure(s) with prior improvement initiatives; and
- a description of how lessons learned are contributing to the current application needs assessment.

### Needs Assessment

- Describe the needs assessment process, including how you analyzed....
  - the current instructional programs, school leadership, and school infrastructure, and
  - the needs identified by families and the community;
- Describe how the LEA has taken into consideration family and community input in selecting the intervention; and
- Discuss how the selected reform model for each school specifically aligns to the needs identified in that school.

## Baseline Data

Needs assessment gathers important information in one place so the team can identify the focus and indicators for consideration:

- Instructional programs
- School leadership
- School infrastructure
- Family and community needs
- Family and community input
- Alignment of reform model to school's identified needs
- Prior improvement initiatives.

## Student Achievement

- How well are ALL students attaining challenging academic standards?
- What are the school completion or mobility rates?
- How many students are making smooth transitions from our school (and/or to our school)?
- Are we reducing the rate of students leaving school?
- Are we closing achievement gaps?

## Curriculum and Instruction

- What are teachers and administrators doing to ensure that teaching methods are up to date?
- Does the curriculum reflect state standards?
- What opportunities are there on the job to improve the curriculum?
- What expectations do we have for ALL students?
- Do we strive to secure top-quality instructional materials?

# Needs Assessment (cont.)

- The basis of any strong school improvement plan is a thorough, unrelenting assessment of the current state of the school.
- All aspects of the review should focus on student learning and the impact of instruction rather than on the mechanics of how teachers are teaching or how adults are working.

#### Needs Assessment (cont.)

An objective, effective needs assessment incorporates quantitative data and qualitative data.

#### Needs Assessment (cont.)

- A school improvement team should first assess internal factors and instructional practices to identify the school's strengths and weaknesses. It should include:
- Self-assessment.
- School data analysis.
- An instructional review.
- A school processes/procedures review.

#### Needs Assessment (cont.)

- A team should analyze external factors to identify opportunities and challenges that may impact what the school should focus on or can accomplish.
  - Hot topics in community
  - Funding trends
  - Technology
  - Legal mandates

#### Possible Needs Assessment Tools

- Cambridge Education's Assessment Model
- Gibson
- American Institutes for Research
- Atlantic Research Partners
- Sample CNA from NCDPI
  - http://www.ncpublicschools.org/docs/schooltransfor mation/assessments/training/notes-guidance.pdf

# School Improvement Grant Cohort IV SIG LEA RFP Application Review

#### Office of School Transformation: School Improvement Grant



#### RFP Introduction and Purpose

Purpose—To support LEA's that demonstrate the greatest need for funds and strongest commitment to use funds to provide adequate resources to substantially raise the achievement of students.

Because the USED has granted South Carolina an ESEA Flexibility Waiver, the SCDE is allowed to subgrant SIG funds through a competitive process to LEAs to serve their schools that have been designated as priority schools and focus schools (see section B, Eligible Applicants).

## Eligible Applicants

- The eligible LEA's and schools are listed on pages 2–3 of the RFP and were discussed earlier in the presentation.
- LEAs which qualify for services under subpart 2 of Part B of Title VI of the ESEA, are eligible to modify one element of the turnaround or transformation model so long as the modification meets the intent and purpose of the original element, in accordance with section I.A.4(a)(9) of the <u>final SIG requirements</u>. These LEA's are noted with an "\*" in the table.
- LEAs denoted by an † are also eligible as federal priority schools and are included in the SIG-eligible school list.

## Federal Requirements

Applicants should carefully review all of the statutory requirements listed on pages 10–12 of the RFP, accessible at the electronic Code of Federal Regulations (CFR) Web site (www.ecfr.gov), that are applicable to the SIG program. Applicants are reminded that, if funded, their programs must fully comply with each of these regulations.

## Statutory Requirements

- 2 CFR Part 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as adopted at 2 CFR Part 3474
- 2 CFR Part 180—OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Non-Procurement), as adopted at 2 CFR Part 3485

#### Statutory Requirements (cont.)

2 CFR Part 25—Universal Identifier and System of Award Management (SAM)

All recipients of federal funds must

- obtain a Data Universal Numbering System (DUNS) number
- maintain an active registration in SAM.

#### Authorized Activities

Funds must be used for activities related to planning for and implementing the selected reform model in the school to be served.

http://www2.ed.gov/programs/sif/index.html

#### Unauthorized Activities

Activities not related to improving student academic achievement in eligible schools through the implementation of one of the SIG school reform models are not authorized. Construction, structural alterations to building, building maintenance, or repairs are not authorized activities for SIG ("minor remodeling" may be allowable; see section G. Allowable Activities).

# Program Monitoring

- Each applicant receiving funding through this RFP meets the eligibility requirements for the subgrant described herein, and the applicant has provided all required assurances that it will comply with all program implementation and reporting requirements established through this RFP.
- Each applicant receiving funding through this RFP appropriately uses these funds as described in this application package.
- Each applicant implements activities funded through this application within the timeline in which the funds provided are to be used.

## Program Monitoring (cont.)

- SCDE requires subgrantees to submit appropriate fiscal and program documentation.
- SCDE may conduct site visits.
- In compliance with 2 CFR Part 200.205, the SCDE will conduct a pre-award risk assessment of potential subgrantees before a grant award is issued.
- Applicants may be subjected to an evaluation of their financial system, internal controls, and policies and procedures by the SCDE's Office of Auditing Services. The review process and procedures are accessible at

<u>http://ed.sc.gov/finance/auditing/pre-award-audit-resources/pre-award-audit-program/</u>.

# Program Monitoring (cont.)

Applicants awarded subgrant funds must satisfy periodic reporting and accountability requirements throughout the term of the subgrant such as:

- program accountability
- performance reporting
- annual budget
- monitoring
- program evaluation
- technical assistance.

## Fiscal Operations

#### SIG Funds

- Allowable expenditures during subgrant period should be reasonable and allocable
- SIG funds disbursed on reimbursement basis
- SCDE will deobligate any unspent funds at end of subgrant period
- Indirect costs are allowed
- In-kind funds are not required but encouraged.

#### Allowable vs. Unallowable

- Allowable-Subgrants must be used in accordance with statutory and regulatory requirements to improve student academic achievement in a federal priority or federal focus school through one of the SIG school reform models (required and allowable activities in section G, pages 12–13)
- Unallowable-See section H, page 13 for unallowable costs as presented in the federal costs principles at 2 CFR Part 200 (subpart E)

# Supplement vs. Supplant

• SIG programs must supplement not supplant existing services and may not be used to supplant federal, state, local, or non federal funds. Programs may not use subgrant funds to pay for existing levels of services from any other sources.

#### Review Process

- Grant applications that are received by the deadline and deemed complete will be forwarded for review and funding consideration.
- All required materials including forms and appendices must be submitted for the application to be considered complete and eligible for review.
- Program staff will conduct an initial review of applications for completeness and compliance with the RFP instructions.
- No incomplete applications will be forwarded to the selected reviewers or considered for funding.

#### Reviewers

- Three reviewers from diverse backgrounds without a vested interest in any application being funded will evaluate each application.
- The review team is comprised of experienced grant readers from various professions and entities, including the SCDE.
- Reviewers will use the scoring rubric to score each application independently.
- After the three reviewers have individually rated each application, the scores will be averaged.
- An application can earn up to 100 points for an average score.

#### Review Process (cont.)

- Applications will be rank ordered by averaged scores.
- Grant awards will be made starting with applications that earned an average score of 80 points or higher.
- SCDE will consider funding remaining applications earning an average score within the adequate/meets range until all funds are allocated.

#### Review Process (cont.)

- Prior to making awards, the SCDE's Office of Auditing Services will conduct a pre-award risk assessment.
- The SCDE reserves the right to interview applicants recommended for funding, request additional documentation, and make a site visit as appropriate to ensure compliance with federal requirements.
- The SCDE reserves the right to negotiate final budgets and to disqualify costs associated with any line items that are unallowable, unallocable, unreasonable, or inconsistent with the program's goals or the proposed project's activities and strategies.
- Continuation awards are subject to the availability of federal funds and the subgrantee meeting all reporting requirements and demonstrating substantial progress toward meeting their SIG program objectives.
- Grant awards are not final until an SCDE grant award notice is fully executed.

### Appeals Process

- An applicant who has submitted a proposal that the SCDE does not fund has 30 calendar days after receiving notification that the proposal is not funded to request a review of the process.
- Scores may not be appealed.
- An unfunded applicant may inquire as to whether or not the application process was followed.
- The request for review must be directed to the State Superintendent of Education and must state the reasons for the request.
- The SCDE will conduct a hearing in accordance with the provision of 34 CFR Part 76.401.

## Application Overview

- Online Forms
  - Applicant Information
  - Contact Information
    - Contact Person Information
    - Superintendent Information
    - Financial Director Information
    - Title I Coordinator Information
  - School Information (including Principal's Information)
  - Funding Information
  - o Budget Summary
- ☐ Proposal Attachments
  - o Project Summary

- Application Narrative
  - Needs Statement
  - Project Design
  - Strategies
  - Management and Sustainability
  - Evaluation
- Budget Overview and Narrative
- Appendices
  - Certification Signature Page
  - GEPA Statement
  - Timeline of Strategies
  - Résumés of Project Director and Key Personnel
  - Chart of Community Partners and Involvement
- o Pre-Award Audit Questionnaire

## Application Overview

- Submit online; this is the only option.
- Verify that all components of the narrative and appendices are included prior to uploading attachments.
- Do not wait until the last minute to submit application.

#### Narrative Format

Length of Narrative: Maximum of 25 pages per school to be served. Project summary, required forms and appendices (table of contents, timeline of strategies, résumés of project director and key personnel, Chart of Community Partners and Involvement), and application budget are not included in page count. Required Font/Size: Times New Roman/12. Margins: 1" on all sides. Page Numbers: Insert at bottom right. All pages must be numbered. Spacing: All pages should be double-spaced; charts and tables may be single-spaced. Final File Format: PDF document for project summary, budget narrative and overview, narrative and appendices; Excel file for budget.

#### Online Submission

- To access the online application, go to <a href="http://ed.sc.gov/finance/grants/scde-grant-opportunities/2016-17-school-improvement-grant-sig/">http://ed.sc.gov/finance/grants/scde-grant-opportunities/2016-17-school-improvement-grant-sig/</a>
- Provide the following:
  - primary applicant's nine-digit Data Universal Numbering System (DUNS) number
  - Taxpayer Identification Number (TIN) in the application form

\*\*Applicants should contact their organization's finance office if they need assistance with these items.

## Project Summary

In no more than three pages,

- provide concise background on LEA and school(s) to be served.
- identify selected SIG reform model for each school.
- state objectives.
- state amount of funds requested.
- summarize strategies for planning, implementation, and sustainability.
- describe how participation in the SIG project will build capacity in the LEA and each school to be served.
- when completed, save this page as a *single* PDF document to be uploaded as an attachment in the online application.

# Application Narrative Content

- Write the application/proposal narrative and organize it into sections.
- Include a table of contents as the first page of the narrative (not included in the page limit).
- Do *not* combine sections. Required components must be located in their designated sections in order to be scored.
- Save the narrative as *one* PDF document to be uploaded into the online application where indicated in the attachments section.

(maximum of 15 points)

 An LEA must conduct a needs assessment in collaboration with each priority and focus school it commits to serve. The individual school needs assessment should involve the school leadership, staff, and the local community to identify specific school needs and contribute to the selection of an appropriate reform model to address those needs. The intervention/reform model selected should be justifiable according to the needs of the individual school.

#### Schools to be served

SCHOOL NAME	NCES ID #	PRIORITY	FOCUS	INTERVENTION
Priority School ES #1	xxxxxx	X		Turnaround
Priority School HS #1	xxxxxx	X		Restart
Priority School MS #1	xxxxxx	X		Transformation
Priority School ES #2	xxxxxx	X		Turnaround
Priority School MS #2	xxxxxx	X		Evidence-based, Whole-school Reform
Focus School ES #1	xxxxxx		X	Turnaround

**Needs Assessment-**For each priority and focus school that the LEA proposes to serve:

- Describe the needs assessment process, including how you analyzed the current instructional programs, school leadership, and school infrastructure and the needs identified by families and the community.
- Describe how the LEA has taken into consideration family and community input in selecting the intervention.
- Discuss how the selected reform model for each school specifically aligns to the needs identified in that school.

**Prior Improvement Initiatives-**Provide a detailed description of any prior improvement initiatives implemented by the LEA over the past five years and identify the impacted schools to include all of the following:

- The years and total budgets allocated for each initiative.
- An analysis of what interventions, strategies, and/or processes worked and did not work in prior initiatives.
- A discussion of the reasons behind success(es) and/or failure(s) with prior improvement initiatives.
- A description of how lessons learned are contributing to the current application needs assessment.

## Narrative-Project Design

(maximum of 25 points)

- A. Objectives
- B. Reform Model
- C. Evidence-Based, Whole –School Reform Model (if applicable)
- D. Restart Model (if applicable)
- E. Rural School Eligibility (if applicable)
- F. Adequacy of Resources

## Narrative-Project Design

#### Objectives (use chart on page 74 of RFP for guidance)

- Clear statements of what the LEA proposes to accomplish with the proposed SIG program
- Must reflect the results of the needs assessment, mirror the purpose of the subgrant award, and address the needs identified in the previous section
- Must be specific, measurable, achievable, relevant, and time-specific (SMART)
- Two general types of objectives are *process* and *outcome*.

# Narrative-Project Design

#### **Reform Model Plans**

- Early Learning Model
- Evidence-Based, Whole-School Reform Model
- Restart Model
- Transformation Model
- Turnaround Model
- School Closure Model

# Narrative-Project Design

**Adequacy of Resources**-Applicant must demonstrate that the LEA will provide adequate resources and related support to each school it commits to serve.

- Describe the resources and support that are likely to be needed by the school(s) in planning, implementation, and sustainability.
- Describe the specific actions taken or to be taken to determine the LEA's capacity to provide these resources and support.
- Describe specific actions taken or to be taken to align other resources (for example, Title I funding) with the selected reform model(s).
- Demonstrate how the LEA has the capacity to use SIG funds to fully and effectively implement the selected reform model(s) in each school on the first day of the first school year of full implementation.

## Narrative-Strategies

(maximum of 30 points)

- The LEA should describe the specific strategies for each school(s) during planning and the implementation years, as well as describe how the LEA will support and facilitate those strategies. Strategies should be designed in collaboration with the leadership and staff of the school(s) to be served and should support the selected reform model.
- Strategies should help you achieve your objectives.
- Costs identified in budget should be aligned with each strategy.

## Narrative-Strategies

- Planning and Pre-Implementation
- Evidenced-Based Strategies
- Timeline of Strategies
- Practices and Policies

# Narrative-Management and Sustainability (maximum of 25 points)

The Management section outlines the applicant's plan to manage the project including the chain of command, who will manage the project, a job description of project director; and responsibilities for each key staff member.

#### Oversight and Support

- List of key staff and job duties
- Chain of command
- Contacts for each school
- Administrative office details if required by model
- Project Director (resumes of PD and other key staff in appendix)
- For Restart Model-please discuss how LEA will recruit, screen, and select external providers.

#### Family and Community Engagement

- Meaningfully engage families and the community in the implementation of the selected reform model(s).
- Discuss plans and strategies for engaging families and the community while implementing the selected reform model.
- Describe how families will be involved in building, developing, and maintaining community partnerships as part of the model.
- Include a completed Chart of Community Partners and Involvement.

**Monitoring**-Describe how the LEA will monitor each school that receives SIG funds by:

- Establishing measurable, reasonable, and attainable annual goals for student achievement on the state's assessments in both reading/language arts and mathematics; and,
- Measuring progress on the leading indicators as defined in the final requirements.

Reform Sustainability-Sustainability is reached when an objective becomes institutionalized, such as when a project or program implements a curriculum, trains a trainer, transforms a course, or establishes a tutoring program

➤ Please address the strategies the LEA will use to ensure sustainability in the school(s) served

#### Narrative-Evaluation

(maximum of 5 points)

- The SCDE's Office of School Transformation will regularly monitor project reporting (see part I, section I.). Applicants should develop an overall evaluation structure for their project to ensure timely and detailed information is available to monitor their progress.
- Describe how the LEA will regularly evaluate progress of each phase of the project (i.e., planning, implementation, and sustainability) to ensure effective use of resources. Evaluation should be ongoing and at intervals, with a planned course of action in the event that changes are necessary and impact the scope of work.

# Application Budget

#### Requirements for Budget

- 1. LEA must provide the amount of SIG funds it will use each year in each school it proposes to serve.
- 2. The funds will be used to conduct LEA activities designed to support implementation of the elected school intervention models in each school.
- 3. Applications with an incomplete budget will not be funded.

# Application Budget (cont.)

- 4. Applicants should consider school(s) to be served, their needs and the reform model when preparing their budget.
- 5. Budget should cover-Planning Year, Implementation Activities for 3 years, and 1 year of sustainability activities.
- 6. The LEA budget should be sufficient size and scope to implement the selected reform model.

## Application Budget (cont.)

#### Questions to Ask for all budget line items:

- Is this proposed expenditure reasonable for the grant phase?
- Is the proposed expenditure allowable for the grant phase?
- Is the proposed expenditure allocable for the grant phase?
- All cost calculations should detail what is being purchased. How many are being purchased? What is the cost per item? What will the total cost be for that line item? If possible, indicate the vendor to purchase from.
- If a contract is required, ensure it states all applicable services and answers the questions above.

## Sample Budget Items

Bad Budget Example

Good Budget Example

**Educational Curriculum Training** 

I'm Ready to Learn Curriculum, Inc.

On-site (20 days @\$350.00).

Consultant \$150.00 per hour for 24 hours of training)=Total \$3,600.00.

Who is doing the training?

Meeting room cost \$150.00 per day=Total cost \$450.00

Who is receiving the training?

When will the training occur?

What is the cost per hour?

Is there a written agreement for this service?

Curriculum kits for Teachers (10 teachers X \$300.00 per kit-\$3,000.00.

Total Curriculum cost \$7,050.00

# Estimated Funding Per School to Be Served

Project Year (August 1–July 31)	Estimated Funding Range
Year 1—Planning	\$75,000–\$125,000
Year 2—Full Implementation Year 1	\$100,000–\$160,000
Year 3—Full Implementation Year 2	\$100,000-\$160,000
Year 4—Full Implementation Year 3	\$100,000–\$160,000
Year 5—Sustainability Year	\$75,000–\$125,000

# Intro to Budget Overview and Narrative

Budget Overivew-A financial overview of the project

All line items must correspond to the individual sections in the Budget Narrative.

[Insert LEA Name] BUDGET						
	Year 1 Budget (Plannin g)	Year 2 Budget (Full Implementati on)	Year 3 Budget (Full Implementati on)	Year 4 Budget (Full Implementati on)	Year 5 Budget (Sustainability Activities)	Five Year Total
Priority #1	ים	Olly	Olly	Olly	Tienvines)	Total
[Insert						
School Name]	\$75,000	\$150,000	\$150,000	\$150,000	\$100,000	\$625,000
Priority #2	Ψ72,000	Ψ120,000	Ψ120,000	Ψ120,000	Ψ100,000	Ψ020,000
[Insert						
School Namel	\$100,000	\$160,000	\$160,000	\$160,000	\$120,000	\$700,000
Focus #1	ψ100,000	\$100,000	\$100,000	\$100,000	\$120,000	\$700,000
[Insert						
School Namel	\$95,000	\$125,000	\$125,000	\$125,000	\$110,000	\$580,000
LEA-level	\$23,000	\$123,000	\$123,000	\$123,000	φ110,000	\$360,000
Activities			\$150,000	\$150,000	\$100,000	\$400,000
Total Budget	\$270,000	\$435,000	\$585,000	\$585,000	\$430,000	\$2,305,000

## Budget

LEA's must remember to complete a Budget Overview and Narrative and Budget Summary for funds used at the district level to support school(s) implementing one of the SIG reform models.

### Budget Narrative

#### **Budget Narrative Must:**

- Provide 5-year budget (hyperlink on SIG Grant Opportunities Web page).
- Structure Budget Narrative with line item categories from Budget Summary.
- Must provide clear evidence that the expenditures are appropriate and justified to support the activities of the project.
- Expenditures *must* be allowable, reasonable, and allocable; adequate to support the activities of the project; and directly connect to the objectives and strategies in the proposal narrative.
- Include estimates for matching/in-kind funds, if applicable.
- The narrative must contain formulas used to calculate the cost for each line item.

### Line Items for Budget Narrative

- Salaries/Stipends
- Employee Benefits
- Purchased Services
- Supplies and Materials
- Capital Outlay/Equipment
- Other Objects
- Indirect Costs (The LEA's approved indirect cost rate should be indicated in the application.)

## Contracting with Vendors

Applicants/grantees must ensure that they do not enter a contract with any vendor that is debarred, suspended, or is ineligible for participation in federal programs by

- checking the Excluded Parties List (EPLS) at the federal System for Award Management (SAM) Web site—<a href="https://www.sam.gov/portal/public/SAM/#1">https://www.sam.gov/portal/public/SAM/#1</a> (Applicants are encouraged to review the user guides for exclusions provided via the "Help" page prior to conducting searches.);
- LEA's must be registered with SAM.gov;
- collecting a certification from the vendor and attaching it to the contract;
   or
- adding a clause or condition to the contract that indicates the vendor is eligible.

# Sustainability

- Applicants should indicate any matching and/or inkind funding as a clear sign of sustainability plans and potential.
- Applicants should also demonstrate the use of supplemental funds through the schools and districts. (Although matching funds are not required and give no "competitive edge" to any application, all in-kind contributions from partners *must* be included.)

### **Technical**

SCDE reserves the right to disqualify, disallow, and negotiate costs associated with any line item proposed in the budget. If any line item cost is determined to be excessive, given the nature and scope of the entire project or of a particular activity, the SCDE can request the applicant reduce the cost of the line item or ask the applicant to assume a portion of the cost before the budget is approved and funds are awarded.

### **Technical**

- Funds will be disbursed on a reimbursement basis upon the receipt of expenditure reports with all supporting documentation from the subgrantees.
- Subgrantees may not obligate funds prior to the receipt of a grant award notice.
- No expenditures incurred prior to September 2016 will be reimbursed.
- Applicants should have at their disposal at least three months of sustainable funds to implement the program prior to SCDE reimbursement.

### **Technical**

- Subgrantees are not permitted to pick up their reimbursements from the SCDE office.
- To charge indirect costs to a grant, a subgrantee must have an approved indirect cost rate agreement.
- The restricted indirect cost rate of the school district must be used.

# SIG Assurances/SCDE Assurances

By signing the Certification Signature Page (page 62), the applicant assures that it will—

- Use its School Improvement Grant to fully and effectively implement an intervention in each priority and focus school that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the state's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in Section III of the final requirements in order to monitor each priority and focus school that it serves with school improvement funds;

#### Assurances

- Report to the SCDE the school-level data required under section III of the final requirements, including baseline data for the year prior to SIG implementation; and
- Ensure that each priority and focus school that it commits to serve receives all of the state and local funds it would receive in the absence of the school improvement funds and that those resources are aligned with the interventions.
- The applicant also assures that it will comply fully with the SCDE's Assurances and Terms and Conditions for Federal Subawards (pages 64–67).

### Deadline and Procedures

- Applicants should have e-mailed a notice of intent to apply by **June 30, 2016**, to <u>SIG@ed.sc.gov</u>.
- No hard copy applications will be accepted. Applications delivered by hand, postal mail, e-mail, or fax *will not* be accepted.
- Only applications that adhere to *all* of the guidelines and directions set forth in this RFP will be reviewed and considered for funding.
- Applications must originate from the applicant. Applications that are plagiarized from the Internet, other grants, or second-party resources will not be considered for funding. Grants are not transferrable.

#### Deadline and Procedures

- Do not attach or submit any additional materials other than what is specifically required. Any additional materials will be disposed of without review.
- Applications will not be returned. Keep a copy of the entire application for your records.
- A complete application *must* include all required documentation and appendices.
- Applications *must* be received no later than **4:30 p.m. on August 8, 2016**. Applications received after this deadline will *not* be considered. Because potential technology issues may arise, it is best to submit well in advance of the deadline. No exceptions to the deadline will be entertained regardless of circumstances.

## Appendices

- Certification Signature Page
- GEPA Statement
- Timeline of Strategies
- Résumés of Project Director and Key Personnel
- Chart of Community Partners and Involvement

## Pre-Award Audits Questionnaire

- You are required to complete the Pre-Award Audit Questionnaire (see pages 69–71) and include it in the appendices. <a href="http://ed.sc.gov/finance/auditing/pre-award-audit-resources/pre-award-audit-questionnaires/pre-award-audit-questionnaire-leas-and-state-agencies/">http://ed.sc.gov/finance/auditing/pre-award-audit-questionnaire-leas-and-state-agencies/</a>
- The SCDE's Office of Auditing Services will review this questionnaire as part of the risk assessment



# 2016–17 School Improvement Grant Application Submission Process

Russell Knight
Grants Program, Division for Legal Affairs
South Carolina Department of Education
June 16, 2016



#### **Presentation Goals**

Provide information on how to organize proposal before submission

• Provide guidance on properly and successfully submitting an application.

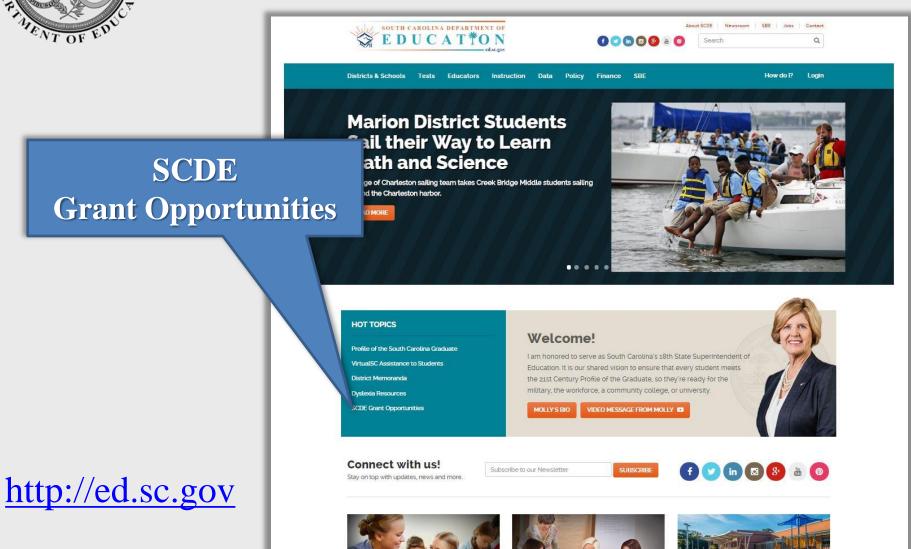


#### **General Information**

- Deadline: 4:30 p.m., Monday, August 8, 2016
- Read <u>entire</u> Request for Proposals (RFP) prior to going online
- SIG Grant Opportunity page: <a href="http://ed.sc.gov/finance/grants/scde-grant-opportunities/2016-17-school-improvement-grant-sig/">http://ed.sc.gov/finance/grants/scde-grant-opportunities/2016-17-school-improvement-grant-sig/</a>
- Applications cannot be accessed once submitted
- Submit application at <a href="https://scde.formstack.com/forms/school\_improvement\_grant\_2016\_17">https://scde.formstack.com/forms/school\_improvement\_grant\_2016\_17</a>

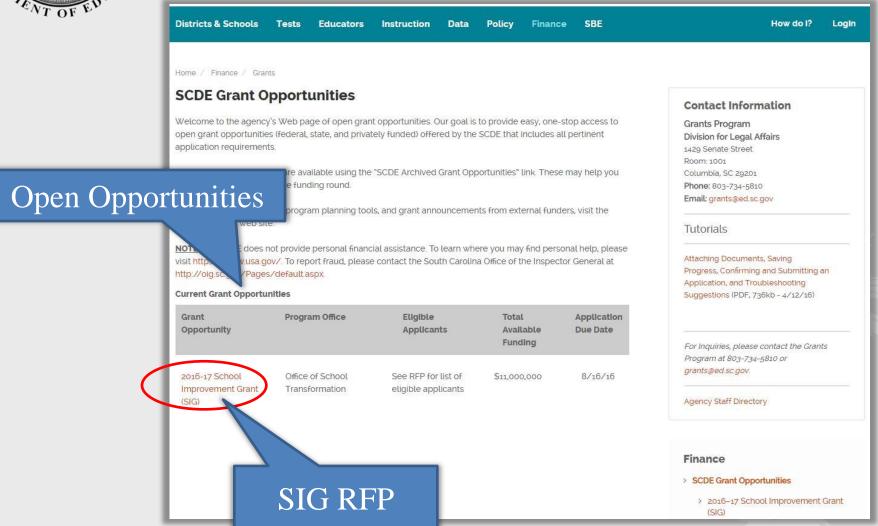


#### **SCDE Web Page**





### **Grant Opportunities Web Page**





### SIG Grant Web Page

Home / Finance / Grants / SCDE Grant Opportunities

#### 2016-17 School Improvement Grant (SIG)

Description:	The purpose of the SIG program is to support local education agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources to substantially raise the achievement of students in their lowest-performing schools.	
Program Office:	Office of School Transformation	
Eligible Applicants:	Limited to those LEAs that have federal priority and/or federal focus schools and did not receive SIG funding during Cohorts I, II, and III. An LEA must propose to serve each priority school it has the capacity to serve prior to serving its focus schools. A list of eligible priority and focus schools by district can be found on pages 2-3 of the Request for Proposals.	
Total Funding Available:	Approximately \$11 million	
Funding Detail:	TBD based on number of eligible applications received.	
Project Term:	Ject Term: Funding for up to five years to support a planning year, three years to support a planning year, three years to support a planning year, three years to support a planning year.	

#### **SCDE Grant Opportunities**

- > SCDE Grant Opportunities
  - > 2016-17 School Improvement Grant (SIG)
  - 2016–17 Fresh Fruit and Vegetable Program
  - Arts Curricular Innovation Grants (ACIG)--Strategic Arts Planning 2016-17
  - > 2016-17 EEDA Preparing Collegeand Career-Ready Graduates Grant
  - Charter Schools Program Planning and Implementation Grant 2016–17
  - Arts Curricular Innovation Grants
     (ACIG)--Innovative Art Works 2016– 17
  - > 2016–17 Arts Curricular Innovation Grants (ACIG)--Distinguished Arts Program (DAP)
  - SCDE Archived Grant Opportunities
- SCDE Grants Program

All information for this funding opportunity is accessible at: <a href="http://ed.sc.gov/finance/grants/scde-grant-opportunities/2016-17-school-improvement-grant-sig/grants-sig



### SIG Grant Web Page (cont.)

Project Term:	Funding for up to five years to support a planning year, three years of reform model implementation, and one sustainability year. The budget term for the planning year is September 1, 2016-August 31, 2017.	<ul> <li>SCDE Grants Program</li> <li>Other Grant Opportunities</li> </ul>
Application Due Date:	August 8, 2016	
Technical Assistance Session:	An onsite pre-application technical assistance session will be offered on <b>June 16, 2016</b> , from 9:00 a.m. until 5:00 p.m. at a location to be determined. While participation is not mandatory in order to submit an application, it is <i>highly recommended</i> .	
Contact(s):	David Long 803-734-0483 dlong@ed.sc.gov	Grant-related Documents
Document(s)	Request for Proposal (DOCX, 2 dt MP 5, 24/10) Online Application Budget Narrative Template (XLX9, 29kb - 3/15/16)	
Program Web Page:	School Improvement Grants	



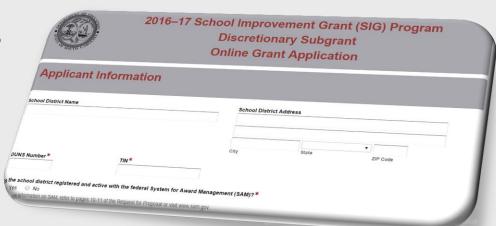
# **Before Beginning Submission**

- Complete <u>proposal attachments</u>
  - Application Narrative and Appendices
  - -Obtain all signatures early
  - -Save documents as directed in RFP
- Compile information to complete <u>online</u> form sections using screenshots in RFP (pages 32–37).

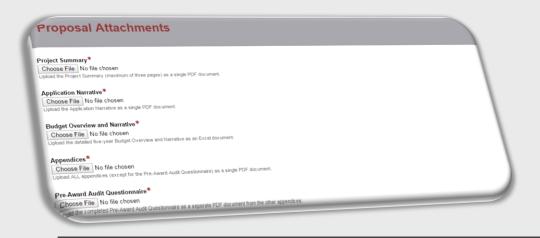


# **Application Organization**

Online Form Sections



Proposal Attachments

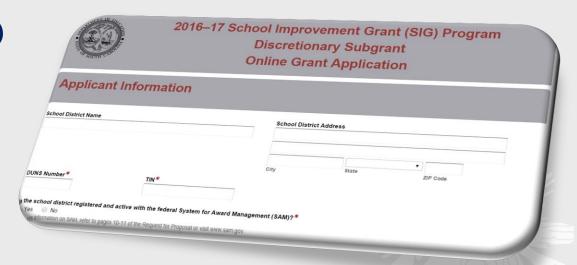


See screenshots in Request for Proposals (RFP).



### **Online Form Sections**

- Applicant (District)
   Information
- Contact Person Information
- Superintendent Information
- Finance Director Information
- Title I Coordinator Information

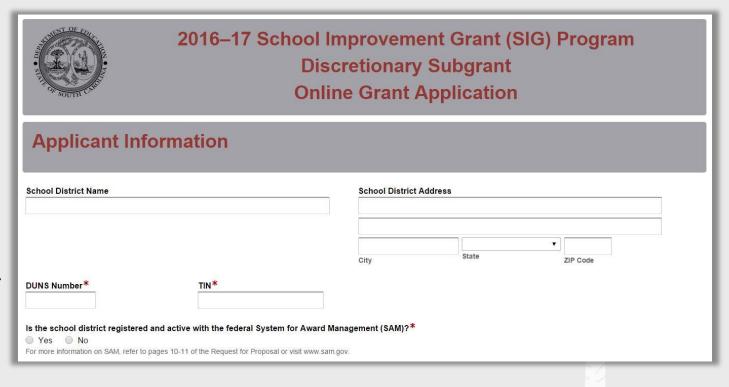


- School Information (including Principal Contact Information)
- Funding Information
- Budget Summary



### **Applicant Information**

- Enter school district information.
- Do <u>not</u> use person's name for School District Name.
- Contact your finance office for DUNS# and Tax Identification Number (TIN).





### Applicant Information (cont.)

### Not active in SAM.gov

Is the school district registered and active with the federal System for Award Management (SAM)?\*

Yes No

For more information on SAM, refer to pages 10-11 of the Request for Proposal or visit www.sam.gov.

The SCDE cannot make a subaward of federal funds to an applicant that has not complied with the requirements described in 2 CFR Part 25 to maintain an active

SAM registration. This district is ineligible to receive a grant award until the SAM registration status is current and active.

### Active in SAM.gov

Is the school district registered and active with the federal System for Award Management (SAM)?\*

Yes

No

For more information on SAM, refer to pages 10-11 of the Request for Proposal or visit www.sam.gov.

Select the number of schools to be served with this SIG funding

.



### **Contact Information**

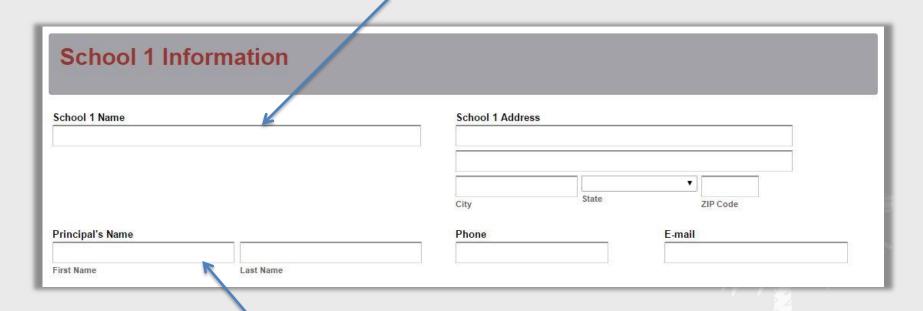
SIG Contact Person's Name	3	Position	
First Name	Last Name		
		Phone	E-mail*
			Confirm E-mail*
			il address is entered correctly. The contact person may al
	on will receive the application submissi st be the individual to contact in all matt		il address is entered correctly. The contact person may al
the project director but mus			il address is entered correctly. The contact person may al E-mail
the project director but mus	st be the individual to contact in all matt	ters regarding this grant application.	
the project director but mus		ters regarding this grant application.	
the project director but mus Superintendent's Name First Name	st be the individual to contact in all matt	ters regarding this grant application.	
the project director but mus Superintendent's Name First Name Finance Director's Name	st be the individual to contact in all matt	ers regarding this grant application.  Phone	E-mail
the project director but mus Superintendent's Name	st be the individual to contact in all matt	ters regarding this grant application.	
the project director but mus	st be the individual to contact in all matt	ers regarding this grant application.  Phone	E-mail

Use formal names and contact information.



### **School Information**

• Enter the full name of the school.



• Enter the Principal's full name as listed on the Certification Signature Page.



### **School Information (cont.)**

Enter the NCES ID number for the school.

School 1 NCES ID#:	School 1 Status:	Proposed Intervention Model (School 1):
	O Priority O Focus	

Select the status of the school.

Selected the proposed intervention model from the dropdown menu.



### **School Information (cont.)**

Provide 5-Year budget projections for each school.

Estimated Funding by Year (School 1):		
Project Year:	Estimated Funding Range:	
Year 1- Planning	\$	
Year 2 - Full Implementation Year 1	\$	
Year 3 - Full Implementation Year 2	\$	
Year 4 - Full Implementation Year 3	\$	
Year 5 - Sustainability Year	\$	
		Total will auto- calculate
Total Funding (School 1)	\$ 0	Calculate



### **School Information (cont.)**

chool 2 Name:		School 2 Addr	ress:		
				<b>▽</b>	
		City	State	Zip Code	
incipal's Name:		Phone:		E-mail:	
efix First Name	Last Name				

To go back to a prior page.

« Previous	rogress	Next »



## **Funding Information**

Funding Information	
Five-Year Total Project Cost (for all schools and LEA-level activities):	Total Amount Requested for Year 1 (for all schools and LEA-level activities):
5-year Projections (funds requested)	
	Year 1 Only (funds requested)



# **Budget Summary**

Budget Summary	у		
Budget Summary for Year 1 of Project (f	or all schools and LEA	A-level activities):	
Salaries (100)	\$		
Employee Benefits (200)	\$		
Purchased Services (300)	\$		
Supplies & Materials (400)	\$		
Capital Outlay/Equipment (500)	\$		
Other Objects (600)	\$		
Indirect Costs (700)	\$		TD . 1 . 111
	-		Total will auto- calculate
Total Costs (for all schools and LEA- level activities)	\$ 0		

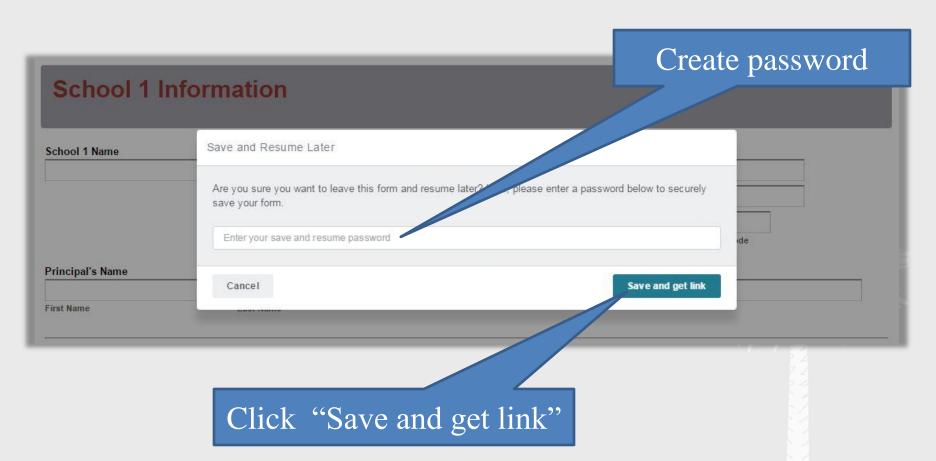


# **Saving Progress**

Year 4 - Full Implementation Year 3	\$				
Total Funding (School 1)	\$ <b>0</b>				
-		Save and Resume L	<u>ater</u>		
« Previous		Progress			Next »
Click to progre				Progress Indicator	



# Saving Progress (cont.)





# Saving Progress (cont.)

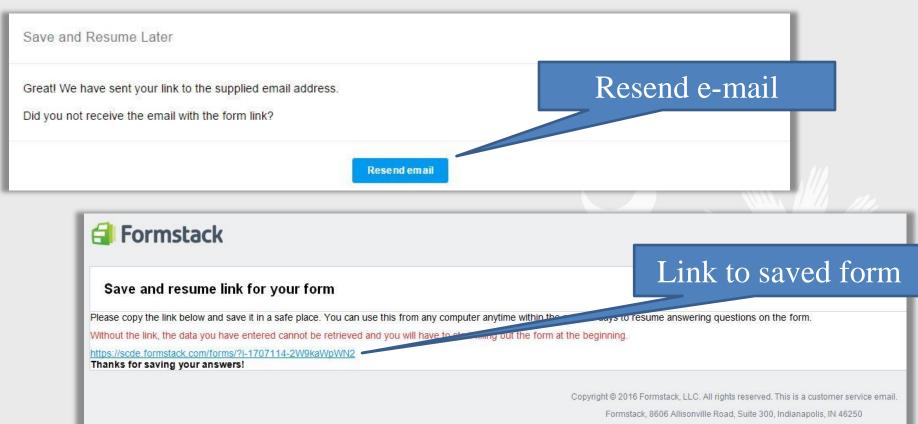
Save and Resume La	
Please copy the link below puestions on the form.	and save it in a safe place. You can use this from any computer anytime within the next 30 days to resume answer
Without the link, the data	ou have entered cannot be retrieved and you will have to start filling out the form at the beginning.
ttps://scde.formstack.com	/forms/?i-1707114-2W9kaWpWN2
Vant us to email you this	link? Enter your email below and click 'Send save and resume link'.
Your email address	
	Send save and resume link

Enter e-mail address

Click on "Send save and resume link"



# Saving Progress (cont.)



• Must return within 30 days or data entered will be lost



### **Proposal Attachments**



- Project Summary
- Application Narrative
- Budget Overview & Narrative

- Appendices
  - Certification Signature Page
  - GEPA Statement
  - Timeline of Strategies
  - Résumés of Project Director & Key Personnel
  - Chart of Community Partners & Involvement
- Pre-Award Audit Questionnaire



### Proposal Attachments (cont.)

#### **Proposal Attachments**

Project Summary\*

Choose File No file chosen

Upload the Project Summary (maximum of three pages) as a single PDF document.

Application Narrative\*

Choose File No file chosen

Upload the Application Narrative as a single PDF document.

Budget Overview and Narrative\*

Choose File No file chosen

Upload the detailed four-year Budget Overview and Narrative as an Excel document.

Appendices\*

Choose File No file chosen

Upload ALL appendices (except for the Pre-Award Audit Questionnaire) as a single PDF document.

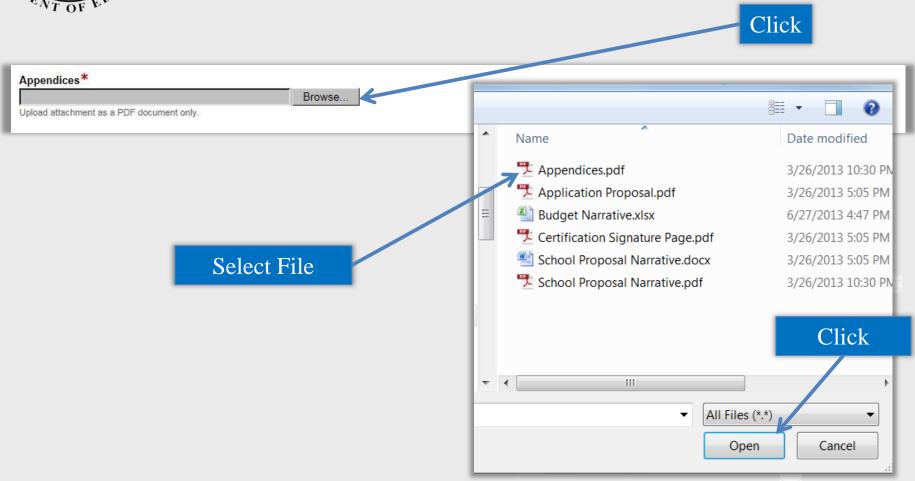
Pre-Award Audit Questionnaire\*

Choose File No file chosen

Upload the completed Pre-Award Audit Questionnaire as a separate PDF document from the other appendices.



## **Attaching Files**





### **Attachment File Size Limit**

Total file size of attachments is limited to 25 MB.

### Suggestions for Minimizing File Sizes:

- Save PDF documents in black and white
- Do not include unnecessary or extra documents
- Do not include graphics or pictures
- Reduce file size of PDF documents.

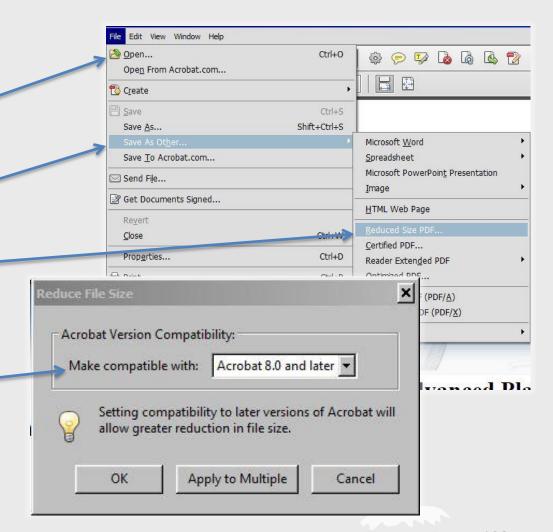


### How to Reduce PDF File Size

In Adobe Acrobat Pro X or higher select:

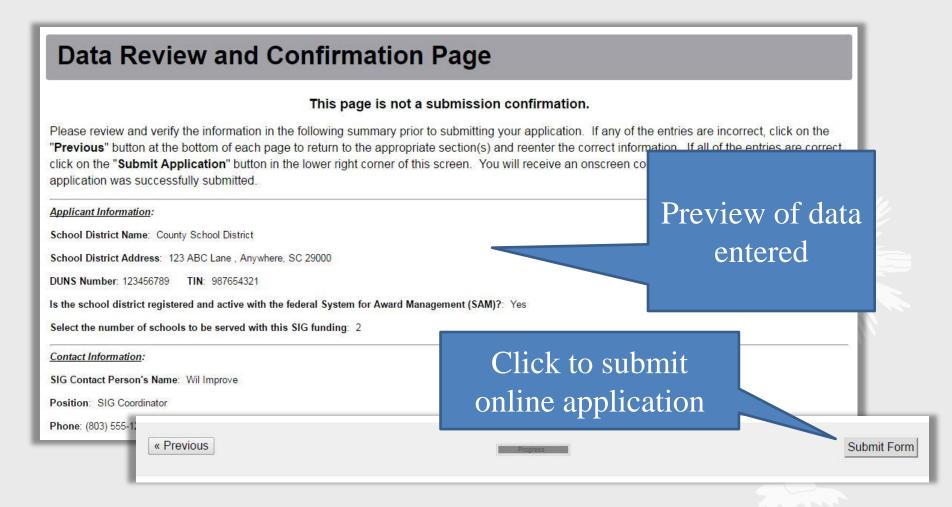
- 1. File
- 2. Save As Other
- 3. Reduced Size PDF.

Then select desired Acrobat compatibility (we suggest version 8.0 or later).





## **Completing Submission**





### **Submission Confirmation**





#### **Onscreen Confirmation**

Thank you for completing the online submission of your 2016–17 School Improvement Grant (SIG) application.

The SIG contact person for your district will receive a confirmation e-mail in a few minutes that includes the data submitted with the application. Retain that e-mail for your records.

Contact David Long at <u>dlong@ed.sc.gov</u> if you have any questions regarding this SIG grant opportunity.

Thank you for submitting an online application for the South Carolina Department of Education's 2016–17 School Improvement Grant (SIG).

#### **Email Confirmation**

your records.

ived. A copy of the data you submitted is included below. Please retain this e-mail for

If you have question or concerns regarding this SIG grant opportunity, please contact David Long at <u>dlong@ed.sc.gov</u> or call 803-734-0483.



### Reminders

- You cannot return to application once it is submitted
- If needed, reenter entire application; last completed submission will be reviewed
- Contact person will receive confirmation e-mail and copy of data submitted
- Retain submission confirmation e-mail and data along with other important grant documents.



# Questions





# **Grants Program Contact Information**

For additional assistance with the online submission process, contact:

• SCDE Grants Program, 803-734-5810, or grants@ed.sc.gov prior to 8/8/16 application deadline date.



# SIG Planning

- School Improvement Initiatives
  - Leadership
  - -Instruction/Effective Teaching/Curriculum
  - -Culture/Climate
  - -Family/Community Engagement
  - Partnerships



# Tentative Timeline of Subgranting Process

Date	Activity/Action
May 25, 2016	Communication to LEA's of upcoming SIG RFP and TA sessions
May 25, 2016	Final RFP posted and available on SCDE website
June 16, 2016	Pre-application technical assistance session
June 30, 2016	Deadline for E-mail of Intent
August 8, 2016	SIG applications due to the SCDE
August 8–September 1, 2016	SCDE will conduct review of LEA applications
September 2016	SCDE will award FY 2014 SIG funds to LEAs
October 2016	New project technical assistance session



### **Contact Information**

#### Office of School Transformation School Improvement Grant

#### **David Long**

Program Manager, School Improvement Grant

Phone: 803-734-0483

sig@ed.sc.gov

1429 Senate Street

604-D Rutledge Building

Columbia, SC 29201